DOCUMENT RESUME

ED 168 403 HE 011 085

AUTHOR Forest, Robert F.
TITLE The Development of a New Faculty Governance Model for Castleton State College Post Collective Bargaining. College Governance Core Module.
PUB DATE Jan 79
NOTE 67p.; Practicum presented to Nova University in partial fulfillment of requirements for the degree of doctor of education ; Marginally legible due to light print

EDRS PRICE MF01/PC03 Plus Postage.
DESCRIPTORS *Collective Bargaining; College Administration; *College Governing Councils; *Faculty Organizations; *Governance; Higher Education; Institutional Research; Organizational Change; Practicums; State Colleges; *Teacher Administrator Relationship; Teacher Participation
IDENTIFIERS *Castleton State College VT

ABSTRACT

A practicum at Castleton State College, Vermont, was conducted to provide recommendations to modify the faculty governance structure so that administrative leadership would have an efficient organizational governance decision making process and, at the same time, to provide faculty a means of expressing their concerns. The history of governance at the college since formal collective bargaining occurred in 1973 and existing research on governance were examined. The Vermont State Colleges Board of Trustees meeting minutes from 1973 to December 1978 were examined to ascertain the board's position on the role of faculty in governance. Interviews were also conducted on the topic with the two top administrators at the college, the last two faculty assembly presidents, and two union representatives from the college. As a result of the interviews it was generally accepted that some degree of faculty participatory governance was necessary and would probably continue as long as the high level of trust of the present college president remained. There was also agreement among the majority of individuals interviewed that total faculty participation in governance was difficult for various reasons and that some type of representative faculty governance structure (i.e., faculty senate) might be more appropriate. Additionally, a need for a new type of position that would assume major responsibilities in the area of faculty development and curricular program development was identified. Other recommendations are discussed. (SW)

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ED168403

THE DEVELOPMENT OF A NEW FACULTY GOVERNANCE MODEL FOR CASTLETON STATE COLLEGE POST COLLECTIVE BARGAINING

COLLEGE GOVERNANCE

CORE MODULE

U S DEPARTMENT OF HEALTH, EDUCATION & WELFARE
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DEGREE OF DOCTOR OF EDUCATION

NOVA UNIVERSITY

JANUARY, 1979

HE 011 089

THE DEVELOPMENT OF A NEW FACULTY GOVERNANCE MODEL FOR CASTLETON STATE COLLEGE POST COLLECTIVE BARGAINING

by
Robert F. Forest

COLLEGE GOVERNANCE VERMONT CLUSTER

ABSTRACT

It has been the expressed concern of the President of Castleton State College, Donald Wilson and some faculty members that the existing faculty governance system was sometimes inefficient and cumbersome to work with. Thus, it was the purpose of this practicum to propose a new faculty governance model that would be easier for the administration to work with and would also provide a structure for the faculty to express their concerns within the governance process.

After reviewing the research and literature on the topic of faculty governance, the oral interviews regarding the subject were completed with the two top Castleton State College administrators, the last two Faculty Assembly Presidents, and two union representatives. As a result of the interviews it was generally accepted that some degree of faculty participatory governance was good and necessary and would probably continue as long as the high trust level of the present college president remained. The majority of the individuals interviewed also agreed that total faculty participation in governance was difficult for various reasons and that some type of representative faculty governance structure (ie.- faculty senate) might be more appropriate.

There was also general agreement that there was a need for a new type of position to be created which would assume major responsibilities in the area of faculty development and curricular program development.

The following recommendations were submitted to the President of the college:

That a faculty governance structure combining elements of the collegial and political governance models be encouraged. This would involve a reduction of Faculty Assembly committees from a total of nineteen to four:

1. Graduate-Continuing Education Committee
2. Academic-Curriculum Committee
3. Faculty Affairs Committee
4. Campus-Student Committee

The faculty members on these four committees would have two representatives elected from each of the college areas: Professional, Fine Arts, Humanities, Sciences and Social Sciences, for a two year period.

The second recommendation was that the Faculty Assembly Executive Council be expanded to include the four faculty members who would be elected chairpersons of the four Faculty Assembly Committees.

It was also recommended that a new position be created, of faculty development specialist, who upon approval of the president, would be a faculty member elected by the Assembly for a two year period. This individual would assume major responsibilities for faculty development and curricular program development. This person would serve as the executive secretary of the first three faculty committees, but would not serve as such on the Campus-Student Committee.

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I. INTRODUCTION

Upon several occasions the President at Castleton State College, Dr. Donald Wilson, has expressed concern regarding the cumbersome nature of the faculty governance structure within the institution. Therefore, it was the purpose of this practicum to study the history of governance at Castleton State College since formal collective bargaining occurred in 1973 and the existing research regarding the topic of governance with the intent of making recommendations to President Wilson.

This practicum on college governance has provided the president of Castleton State College with several recommendations on governance within the institution that are based upon an analysis of literature and research.

The recommendations, if implemented, should significantly modify the faculty governance structure at Castleton State College so that administrative leadership will have an efficient organizational governance decision making process. At the same time, the faculty will have a means of expressing their concerns in a clear and precise manner. The importance of this faculty governence change within the institution may best be evidenced by the fact that President Donald Wilson, during the 1978 Spring Semester, asked the Castleton State College Faculty Assembly to make certain modifications in the governance structure. During one of its early 1978 fall meetings, the Faculty Assembly accepted the charge of President Wilson and has committed itself to making some recommendations on faculty governance.

After completing a review of the research and literature on faculty governance there was an examination of the Vermont State Colleges Board of Trustees meeting minutes from 1973 to December 1978 to ascertain the Board's

position on the role of faculty in governance. This was followed by oral interviews on the topic with the two top administrators at Castleton State College, the last two Faculty Assembly Presidents at Castleton and two union representatives from Castleton. The last phase of the procedures was the submittance of the recommendations on faculty governance to the President of Castleton State College, Donald Wilson.

II. BACKGROUND AND SIGNIFICANCE

The importance and significance of the structure for faculty governance at Castleton State College can best be seen in the memorandum sent to the Faculty Assembly by the Faculty Assembly Executive Council on May 1, 1978.

> "A concern shared by many faculty and administrators is that of the proliferation of committees. Additional concerns deal with time, duplication of effort, and jurisdiction. Your Executive Council recognizes the need to deal with college problems, the need to identify tasks with appropriate means for accomplishing them and the need to formulate a system which can deal with changing conditions on a more immediate basis in an effective manner.
>
> To this end the Executive Council submits this proposal for consideration. It is recommended that the incoming Executive Council address the concept of a reorganized committee structure. It is also recommended the faculty aid the incoming Executive Council by reviewing the proposed Committee organizational structure and offering suggestions. The present Executive Council extends an offer to meet the Incoming Executive Council for the purpose of assisting in any course of action deemed appropriate."[1]

The specific proposal at that time was as follows:

1. That there be three primary committees:
   a. Academic Affairs
   b. Faculty Affairs
   c. Campus Affairs

2. That the Academic Affairs Committee include the following subcommittees or Areas of Concern:
   a. Curriculum
   b. Graduate Program
   c. Library
   d. Academic Review
   e. Continuing Education
   f. Core Curriculum

3. That the Faculty Affairs Committee be composed of the following subcommittees:
   a. Faculty Affairs
   b. Appointments
   c. Reappointment, Promotion, and Tenure
   d. Faculty Development (proposed)

4. That the Campus Affairs Committee be composed of the following subcommittees:
   a. Freshman Orientation
   b. Campus Planning
   c. Ways and Means
   d. Admissions
   e. Student Life (proposed)
   f. Alumni
   g. Commencement
   h. Student Evaluation
   i. APCC

Since this was the final meeting of the Assembly for the academic year, the proposal was tabled until the following school year. At the first fall meeting of the Faculty Assembly, President Wilson charged the Faculty Assembly with the need for developing a revised faculty governance structure. The Presidental charge was voted and accepted by the Faculty Assembly at that meeting.

Previous to 1974, the year the collective bargaining agreement was implemented at Castleton State College, the faculty governance structure was the Faculty Forum. The Forum officers included a Moderator, Vice Moderator, Secretary and Parliamentarian. Forum membership was composed of all full time faculty who were also assigned to one committee.[2]

The committees were as follows:

1. Admissions
2. Alumni
3. Campus Planning
4. Commencement
5. Continuing Education
6. Cultural Affairs
7. Faculty Affairs
8. Curriculum
9. Graduate
10. Judiciary-Discipline
11. Library
12. Publications
13. Student Life
14. Vermont Faculty Council
15. President's Advisory Council on Promotion and Tenure

The Forum Executive Committee (made up of all Forum officers and three additional elected faculty members) forwarded all recommendations and concerns directly to the President of the college.

At that time, probably the most powerful committee at Castleton was the President's Advisory Council on Promotion and Tenure. This committee, which made all recommendations on promotion and tenure, was made up of the

Dean of Academic Affairs, Forum Moderator, past Forum Moderator, one appointed faculty from the Forum Executive Council and two faculty members elected by the Faculty Forum.[3]

The following table outlines the administrative structure at Castleton State College. The President is the chief administrative officer of the college and directly responsible to the Chancellor for the operation of the institution. The Dean for Academic Affairs is the second chief officer, directly under the President, and is concerned with the internal operation and general administration of the institution. The Business Manager is responsible to the President for business and financial affairs of the college. The Dean for Student Affairs is responsible for all aspects of student life including housing, counseling, and financial aid. The Director of Admissions and the Director of Development are all major administrative positions within the administrative structure of the college.[4]

Possible conflict exists between the Vermont State Colleges Central Office and the administration of Castleton State College in the area of governance. The July 1978 Faculty Federation Newsletter indicated that the intent of the central office negotiation representatives was to remove the entire article on faculty governance from a future contract and also to remove all references to faculty assemblies that are also stipulated in the contract.[5]

The differences toward governance between the campus and central administrative office became evident when Castleton State College President, Donald Wilson, at the faculty convocation on August 27, 1978, stated, "I am committed toward participatory governance at this institution, no matter what happens in the rest of the state." In the same speech, he went on to say that although he supports participatory governance, there was a need to look at the governance structure at the college and possibly streamline some of the existing

ROBERT FOREST

THE ADMINISTRATIVE ORGANIZATION OF CASTLETON STATE COLLEGE

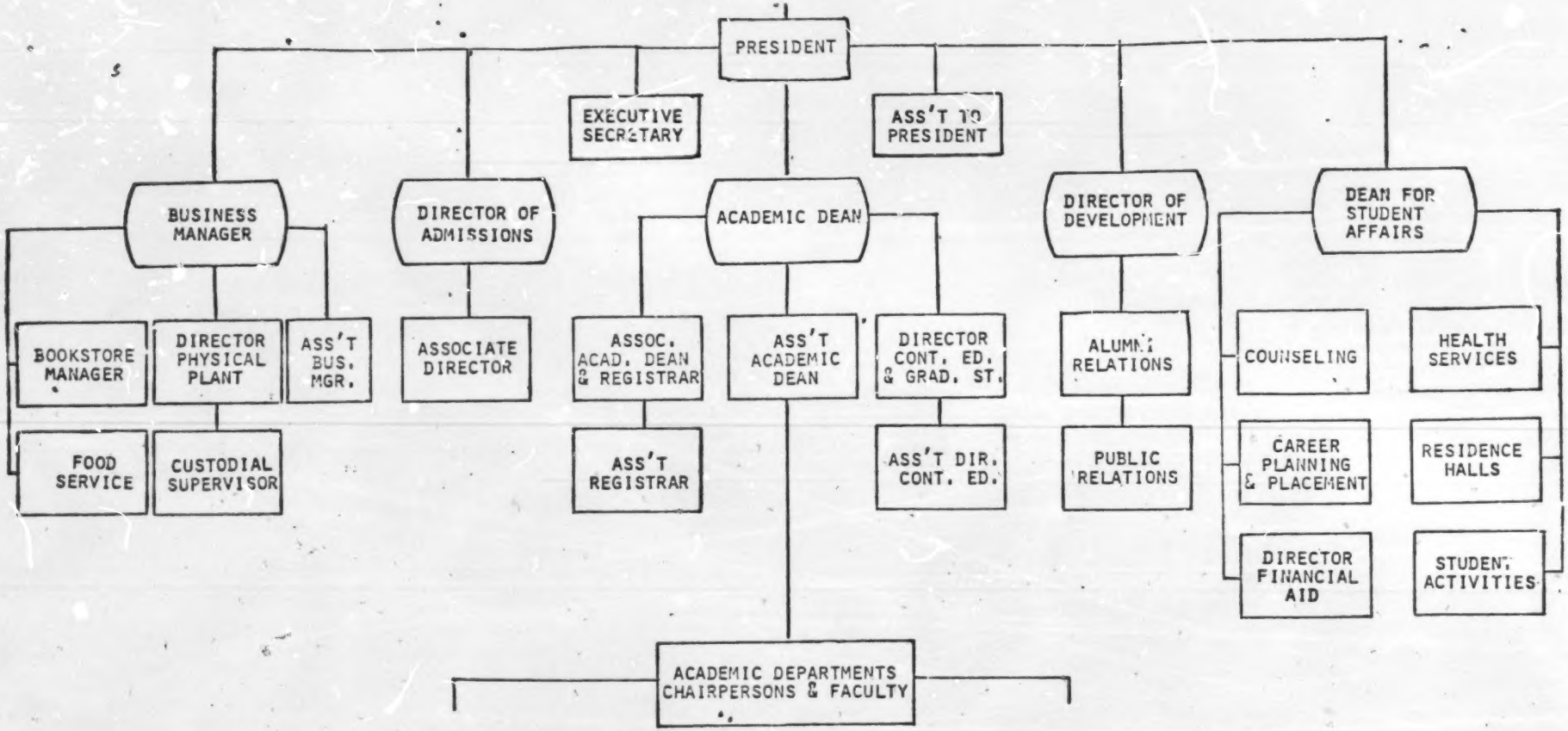


FIGURE 1

EDUCATIONAL & PROFESSIONAL AREA
- Business
- Education
- Physical Education

FINE ARTS AREA
- Art
- Music
- Theatre Arts

HUMANITIES AREA
- English & Philosophy
- Modern Foreign Languages

NATURAL & APPLIED SCIENCES AREA
- Mathematics
- Natural Sciences
- Nursing

SOCIAL SCIENCES AREA
- History, Geography, Economics & Politics
- Psychology
- Sociology, Social Work & Criminal Justice

LIBRARY-LEARNING RESOURCE CENTER
- Media

committee organizations. He also said that when he presented this idea to the Faculty Assembly Executive Committee, some members were shocked that the faculty should play a significant role in governance. It was his feeling that too much of committee governance becomes a matter of ego involvement, rather than truly improving the governance functions.

The position of President Wilson on faculty governance can best be seen in a position paper that he developed on the topic. (See Appendix A, page 38) His support for the proposed revision of the committee structure and strong emphasis on a participatory model clarifies his view of the faculty governance process as being a meaningful structure shared authority with the faculty.

In an examination of the research there seems to be an attenpt to establish participatory-political governance models.

Weaver (1977) surveyed both administrators and faculty at Central Florida Community College totalling 101 individuals in order to ascertain their perception of governance within the institution. From the results of his study, he recommended that a more participatory governance model be established to increase the interaction and communication between the faculty and administration.[6]

The specifics of the shared authority governance model can often be found in either the bicameral or unicameral representative assembly. The bicameral assembly often includes faculty and student senates, with separate powers, but which meet in combined committees to work out specific recommendations. The unicameral structure represents both faculty and students on an equal basis and often have a better chance at decision making, since all segments are directly involved in the discussion of issues. The unicameral assembly tends to be more efficient because it removes some of the overlapping

and duplication of efforts.[7]

In a study by Deegan (1970) which compared various governance models, it was concluded that some form of participatory governance was best. However, he found that the logic, committment, abilities of all campus elements (faculty, administration, students and trustees) involved in the governence process could, in the final analysis, determine the success of any given governance system.[8]

Some researchers feel that part of the problem with participatory governance is that it tends to dilute the power of the president and prevents him/her from meeting the obligations of his position. It would also follow that a faculty senate with an elected chairperson, and with elected faculty on tenure and promotion committees, tend to develop a dual system of authority unless they are a part of the president's planned organizational pattern. Without this presidential support, it could be assumed that an organization with dual authorities will not provide a basis for good administration.[9]

Schimmel, in an article in the Journal of Higher Education, summarizes one of the major weaknesses of the participatory governance system as being the multiplication of committees. "As a result of the proliferation of committees, faculty, students, and administrators devote an increased proportion of their time, energy, and intelligence to Committee work. The outcome has rarely justified the effort."[10]

This not only allows an authorative administrator to avoid discussing key issues by keeping committees working on minor issues, but it also hinders the democratic administrator from developing policy from a clear consensus of the faculty.

Gubasta argues that the following commonly accepted college governance elements tend not to represent reality and do not allow institutional leader-

ship the flexibility to deal with many of the changes occurring at many colleges. These governance concepts first, assume that mission statements can be specifically stated and that the process generally understood; and secondly, make the assumption that collective bargaining causes conflicting interest groups. Thirdly, these concepts assume that participatory governance and consensus style are the most appropriate means in decision making. He argues that campus research should work at clarifying fuzzy institutional goals and clearly articulate the structure of fluid participatory governance.[11]

One of the few recent negative articles, on participatory governance by Priestly, predicted that college campuses during the 1970's would move away from participatory governance to the traditional (organizational) pattern of governance. Because of the impossibility of total participatory governance, and the fact that this type of system encourages conflicting interest groups, the author felt that there is already a trend back to the traditional pattern by which the Board of Trustees, often through their administration, are making more leadership decisions instead of running democratic forums that lead to ambivalency. He concluded that the traditional governance structure "evol ed because it was sound" and operated prudently, with responsibility, accountability and direction.[12]

Although subjective in analysis, Bruce Chaloux, the present Assistant Dean for Academic Affairs at Castleton, in an unpublished paper, applied several elements presented by Helsabeck to the governance structure at Castleton State College prior to unionization and following unionization.

TABLE 1

HELSABECK'S GOVERNANCE STRUCTURE APPLIED TO CASTLETON STATE COLLEGE[13]

	PRIOR TO UNIONIZATION	AFTER UNIONIZATION
Amount of Participation	LOW	HIGH
Centricity	CORPORATE	FEDERATED
Concurrent Regimes	LOW	EXTREMELY HIGH
Decision-Structure Variance (Subsystem Level)		
Authority Allocation	LOW	HIGH
Resource Allocation	LOW	HIGH
Resource Acquisition	LOW	HIGH
Production	MODERATE	HIGH
Decision-Structure Clarity	LOW	HIGH
Decision-Structure Legitimacy (between units)	NONEXISTENT	

Conflict is the quality of growth and development of people, as well as educational systems. The educational systems of the future will be constantly pressured to respond to conflicting interests within and from without. The administrator, rather than attempting to minimize conflict, should try to make all elements aware of the basis of the conflicts, and try to help develop a positive prospective of educational reality with which they must learn to deal and live.

Some of the recent research dealing with governance has involved a model that addresses itself to the conflict within educational systems.

One theoretical basis for the political model is the conflict management concept. Some of the fundamental elements of this conflict management

scheme are as follows:

1. Social systems tend to fragment into interest groups with their own specific objectives.
2. The study of the interaction of these various interest groups and how they win advantages over others becomes important.
3. Since interest groups tend to cluster around differing values, the study of these conflicting interest is also important.
4. Since the social system is fragmented by differing values into conflicting interest groups, the study of change which results from these conflicts becomes paramount in importance.[14]

The following page represents a diagram of Baldridge's political model.

It is very healthy for an educational institution if the faculty and administrative team members are willing to openly oppose and confront the top administrator. This can be extended to also include open confrontation between staff members in front of the top administrator. All of this is with the assumption that the confrontation takes place in a face to face situation.[15] The procedure will encourage constant and constructive dialogue to be developed at all levels.

The fact is that conflict and questioning of authority is a way of life for colleges to develop a governance model that can deal with conflict resolution. The political model has been suggested as the governance structure that might solve this problem.

In this model various interest groups form temporary coalitions to support different values of their groups in an attempt to resolve the differences of their positions. The political model no longer assumes that there is one solution which can be concluded through a logical process that will be best for all concerned groups. Instead, there is an attempt to combine enough power as possible to force a response that is closest to the one desired. The final phase of the conflict occurs when some type of legislative policy

MANAGEMENT POLITICAL MODEL

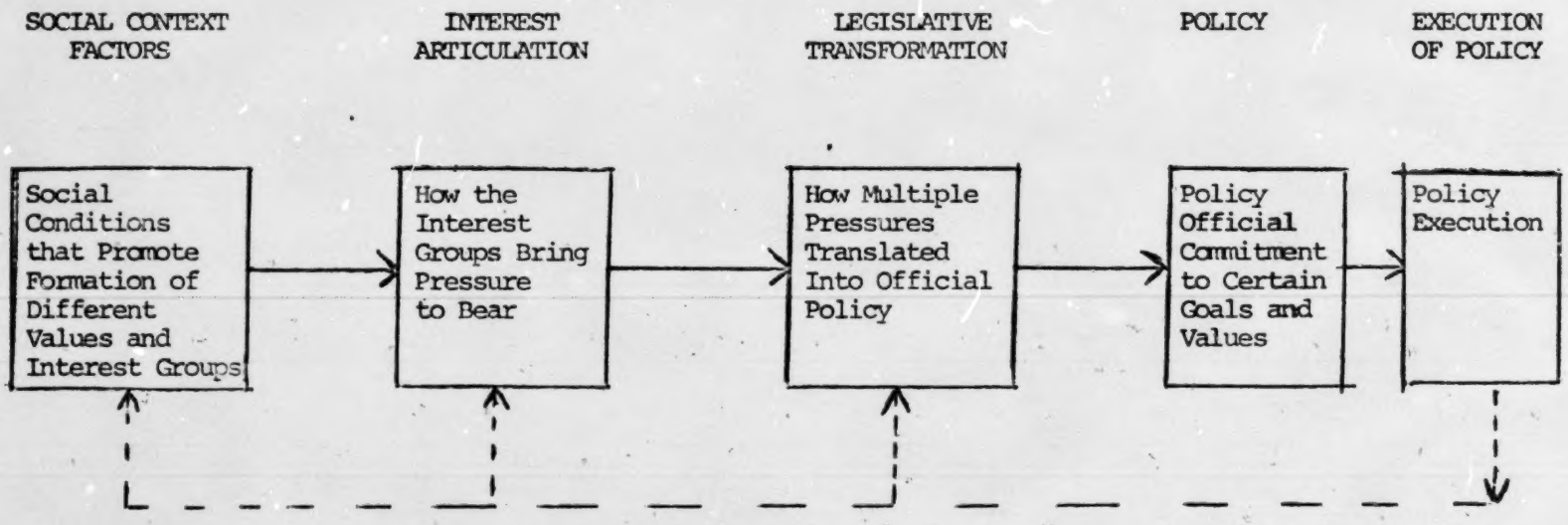

SOCIAL CONTEXT FACTORS
INTEREST ARTICULATION
LEGISLATIVE TRANSFORMATION
POLICY
EXECUTION OF POLICY
Social Conditions that Promote Formation of Different Values and Interest Groups
How the Interest Groups Bring Pressure to Bear
How Multiple Pressures Translated Into Official Policy
Policy Official Commitment to Certain Goals and Values
Policy Execution
FEEDBACK PROCESSES: GENERATION OF NEW POLITICAL CONFLICTS

FIGURE 2

J. Victor Baldridge, Power and Conflict in the University. John Wiley and Sons, Inc., 1971, p. 22.

points the direction for future institutional action. This often results in renewed shifts of interest groups and further conflict.

The key in the political model is the governance process that leads to the formulation of written policies or contracts that are binding. The model has the ability to control conflict and enables the institution to meet the constant changes being demanded of it. It also builds in an institutional process that deals with the adversary tendency that occurs from collective bargaining.[16]

Too frequently in the past, administrators have emphasized having happy, smoothly running schools, which is really an unrealistic view of human behavior. The possibility of conflict exists in almost every aspect of the college or university's operations. An administrator will, from time to time, become directly involved in conflict situations, or at least will seldom be able to avoid indirect involvement. The simple fact is that first, the administrator must realize reality, in that the institution will be submerged in conflict situations; secondly, that conflict should not be viewed negatively, but rather as a natural phenomenon of human nature; thirdly, that the administrator is the key element in the conflict situations, either as an active participant or a motivating influence; fourthly, technical knowledge for resolving conflict is of less priority to the administrator than the process of resolving conflict with as little emotional and as much objectivity as possible; fifthly, the initial stage the administrator has to develop the skills in identifying precipitators of conflict.[17]

Any administrator who ignores conflict as a major influential force in educational change has an unrealistic view of how educational organizations have been shaped in the past. Rather than ignoring conflict, it would seem that any governance structure should be based upon examining the many conflicts,

attempting to better understand how they started, and developing a governance system by which the faculty administrators might resolve some of the conflicts that have impeded successful operation of the institution.

In order to understand this, it is important that the administrator knows how conflict occurs, the impact it has on his own personality, the personalities of others and the possible method of resolution to the conflict.[18]

Almost any attempt at change within the university structure is faced with opposition and therefore, conflict because many of the faculties lack a broad perspective of their educational institutions, the broad range of intellectual abilities of the faculty, and the opposition to change by various departments most concerned about proposed changes. The majority of authorities on governence argue that the faculties of most colleges and universities are "deeply divided . . . on virtually all important matters . . . confused and uncertain . . .as to their roles and responsibilities in the vastly altered setting in which they find themselves."[19]

At the present time, the conflicting forces are greatly altering the educational structures of most educational systems. Every educational pressure results in increased administrative problems - problems which contain the conflicts which must resolved by the educational administrator.

Many college and university administrators must:

1. Develop insights into the basis for conflicts that occur within the institution.
2. Develop positive attitudes toward conflicting educational views as a reality with which they must learn to work.
3. Become acquainted with the different types of conflict and the typically approved and disapproved means of resolving them.
4. See what happens when varieties of conflict are unresolved or solved through methods which are not considered legitimate by the general public.
5. Develop leadership patterns for conflict resolution within the institution.

As conflict increases between an institution and external threats from various other systems, (i.e. - reduction of revenue, loss of students, reduction of faculty, etc.) there tends to evolve a small group of individuals who are given increased decision making responsibilities because of their ability to provide services crucial to the survival of the institution. Many faculty tolerate decreased participatory governance as long as the decisions of the small group help in achieving the survival results. When reduced revenue occurs, the president of the higher educational institution tends to assume much more direct decision making power than he would normally under less threatening conditions.[20]

It is extremely important that a college administrator understands how the individual's value system plays a part in conflict situations. Many traditional administrators imply that morality is simply a matter of one's being good rather than bad. In reality, a morally responsible administrator is able to choose reflectively among conflicting attitudes and values.

A more adequate governance procedure would provide faculty committees with opportunities to choose reflectively among differing values which they hold. This chance to make choices between good and good, and make them reflectively, is more likely to be present in a college or university governance system that emphasizes the positive aspects of conflicting educational views and interests.

The bureaucratic model used by most universities in the past led to an atmosphere of mistrust between the faculty and administrators within institutions. This mistrust then led to interrelationship conflicts, rigidity of the governance structure, a reduced ability of the institution to solve problems and, finally, a lowering of the quality of the institution's effectiveness. The administrator who prefers the bureaucratic system is poorly

prepared to deal with the conflicting interrelationship roles being demanded of the college and university leadership. Their incompetency and anxieties in dealing with these conflict problems lead to a defensive pattern that reduces the quality level of the institution.[21]

An emerging priority of colleges during the 1970's has been a new emphasis on staff development. There are needs for new programs designed to respond to both the professional and personal needs of college faculty. Most college faculties represent the institution's single greatest resource. In terms of finances, the faculty remains the most important and greatest capital investment of any college. Since this is the case, it is simply a poor investment if that major investment is allowed to depreciate by being trained and then moving to another institution, by poor morale or professional obsolescence.[22]

As the institution's mission's change so as to better adapt to the changing needs of society, it behooves the college to establish a program that encourages and supports the faculty efforts to adapt and change to better meet these needs. An inservice program that

1. improves teaching methods
2. develops new curricular programs
3. develops ways of better understanding and relating to students

will facilitate the faculty's ability to meet the changing mission of the institution.[23]

The importance of staff development can be judged by the commitment given by the state of Florida. The Florida Legislature set aside specific funds for each college for a faculty development specialist. The specialists often work with a faculty development committee who's major function it is to develop programs to help meet the faculty needs and the college's mission

objectives. These programs include retreats for various faculty groups, sometimes the total faculty grants to support faculty to develop innovative curricula programs or innovative methods to improve instruction, individual faculty plans for faculty development, various seminars and workshops with in-house specialists and outside consultants.[24]

Maricopa County Community College developed staff development modules on the nature of the institution and its mission, the type and needs of the college's students, career development patterns for the students and background as to the geographical area of the communities it served. Eastfield College in Dallas, Texas, included top administrators in their staff development workshops and seminars on interpersonal communications and the developing of counselor skills.[25]

Another study of organizational models, but dealing with governmental structure, was done by Allison in 1971. In it, Allison describes three organizational models: the classical planning model; the bureaucratic model, and the political model.[26] The simulation gaming chart outlines some of the basic elements of each of these three models. (See Appendix B, page 42.)

For the last several years, the faculty at Castleton State College have had a chance to become directly involved in the governance of the institution. This involvement of faculty governance was again formalized in the negotiated agreement of 1977. The details of that section are as follows:

ARTICLE XXVII

Faculty Governance

1. The Federation, as elected bargaining agent, retains the exclusive right to negotiate and reach agreement on all matters pertaining to wages, benefits, and terms and conditions of employment. Without waiving this right, the Federation recognizes the desirability of some form of democratic faculty governance in areas of academic concern. Such faculty governance shall be implemented through a faculty assembly on each campus, consisting of all full-time faculty

and ranked librarians only. Presidents and their representatives may request and shall be granted invitations to meetings of the assembly and its committees to present and discuss administrative proposals in the areas listed in (3) below.

2. The existance of the Faculty Assembly as an instrument of faculty governance shall not preclude the President from holding a reasonable number of faculty meetings with reasonable notice in cases other than emergencies.

3. Recognizing the final determining authority of the President, matters of academic concern shall be initiated by the Faculty Assembly or by the President through the Faculty Assembly which shall consider the matter and respond within a reasonable time. Such matters shall include:

   A. The selection of Department Chairpersons, Program Coordinators, or other instructional academic unit coordinators, to be elected periodically by secret ballot by members of that unit.

      In the event that the President believes that the selection is not in the best interest of the College, he may request that the department consider his objections by holding another election.

   B. Curricular policy and curricular structure. Any proposal to abolish course offerings must be considered under the terms of this paragraph.

   C. Library policies and acquisitions policy.

   D. Requirements for degrees and granting of degrees.

   E. Policies for recruitment, admission and retention of students.

   F. The development, curtailment or reorganization of academic programs.

4. The responsibilities of faculty shall include the initial assignment of their courses and arrangement of their schedules. Such scheduling shall be coordinated by the department chairperson, where present, or by the appropriate academic unit coordinator. Every reasonable effort shall be made, within the department or other appropriate academic unit, to accomodate the desires of the members and to develop a viable schedule to administrative approval. The unit coordinator shall submit in writing to the designated administrator and to the faculty concerned, the unit's schedule; the faculty member's preferences, given in priority order, shall also be supplied to said administrator. Should a dispute arise within a department or other appropriate academic unit, it shall be resolved by the appropriate administrative

officer. In the event that the College must either resolve a dispute or revise a departmentally arranged schedule, the appropriate administrator shall make every reasonable effort to act in accordance with the preferences in order of priority.[27]

III. PROCEDURES

The following Procedures for the practicum were followed:

1. A review and summarization of the pertinent research and literature on governance was completed as previously presented.

2. The Vermont State College Board of Trustees' minutes since 1973* were studied in order to ascertain their perception of governance. Any findings on these (i.e. board policies, etc.) were be duly reported in the practicum along with a summary of the literature.

3. Oral interviews with President Donald Wilson and Dean of Academic Affairs, William Feaster, the two top Castleton State College administrators on the topic of governance.**

4. Oral interviews with John Gillen and Howard Ward, the two last Castleton State College Faculty Assembly Presidents regarding governance were completed.

5. Oral interviews with Sherry Anderson and John Stevens, two of the Castleton State College union representatives regarding the topic of governance were completed.

6. Copies of the practicum recommendations were given to the Faculty Assembly Executive Council in January 1979.

7. As the final phase of the practicum there were recommendations dealing with governance at Castleton State College, submitted to the president, Dr. Donald Wilson in January 1979.

*In December 1973, the Vermont State Colleges Faculty Federation, AFT Local 3180, was certified as the collective bargaining agent for the Vermont State College full-time faculty.

**Please see Appendix C, page 43, for some of the questions that were asked during the interviews for steps three, four and five in the procedures section. The intent of the questions were simply to stimulate discussion of the topic of governance and in no way were meant to be a limiting or comprehensive review of the topic.

The following are the definitions of terms used in the practicum:

MODEL: an informal framework that can aid in the study and analysis of an organizational structure or process by pointing out key elements of the structure or process. Quite often this is done by posing a series of heuristic questions.[28]

GOVERNANCE: a term used to describe the decision making process and the implementation of those decisions within a higher educational institution. Those decisions involve the curricula that will be taught, the teaching faculty who will teach the programs, the types of relationships with students that are to exist, the various services provided to the students, and the research that will be required.[29]

BUREAUCRATIC GOVERNANCE MODEL (OR TRADITIONAL MODEL): "the focus for decision making is the administrative structure. Relationships within the bureaucratic organization are hierarchical, that is they are arranged in descending order of authority. The policies of the institution specify what decisions get made by whom within the structure. The importance of any position in the decision making process will be determined by the level it is assigned within the organization."[30]

PARTICIPATORY GOVERNANCE MODEL (OR COLLEGIAL MODEL): "joint committees become conditional decision making bodies in their own right and in policy issues exercise greater influence than the administrative structure. The anatomy of the governance structure includes, in addition to joint committees, organizations for each of the constituencies and a central forum for developing consensus.

Within the shared authority models, the relationships are collegial. In order to preserve a high level of lateral as well as upward and downward communication, status differentials are subdued. Informality characterizes the interaction process with less use of titles."[31]

IV. RESULTS

As a result of the practicum study there was a written summary of the literature and research on the topic of governance and specific recommendations regarding governance at Castleton State College submitted to the president of the college, Dr. Donald Wilson. With the submission of the

recommendations on governance to the President, the formal phase of the practicum was completed.

In addition to the recommendations on governance submitted to President Wilson, copies of the recommendations were given to the Executive Coumcil of the Faculty Assembly. Although these two actions of submission of the recommendations concluded the formal phase of the practicum, it is assumed that if the conclusions and recommendations are valid and helpful, some changes, dialogue and modifications of the Castleton State College governance procedures will occur in the near future.

This implementation of the recommended governance system has provided both the administration and faculty at Castleton State College a system for a more efficient and cohesive structure that will encourage faculty participation in the governance process and will also provide a clear and concise voice regarding faculty concerns.

One overlying element that existed in all of the oral interviews (See Appendix D, pages 44-52.), was the high level of trust in the current president, Dr, Wilson, and the mutual respect held by all faculty and administrators presently involved in the issue of faculty governance. Because of this trust and mutual respect there was general agreement that some degree of faculty participation in governance would continue as long as President Wilson remains at Castleton State College.

The majority of all interviewees also indicated that there were some problems with total faculty involvement in governance because of heavy teaching responsibilities, numbers of committee meetings, individual interests, etc.. It was a general feeling that probably some modifications in the existing governance structure might be helpful in maximizing faculty concerns through the governance system.

There was also general agreement that faculty governance within the present contract being negotiated would not have a major influence on the Castleton campus as long as the present College president remained. In some cases, it was felt that having faculty governance in the contract guaranteed faculty participation in the governance process beyond any one administration, and, in other instances, it was felt that having it in the contract reduced the flexibility of the individual campus to deal with its problems.

One final general area of agreement was the need for a new position which might be primarily concerned with faculty development and curricular improvement. Beyond agreement as to the general need for such a position, there were various suggestions made by all the people interviewed regarding the specific details that such a position might include.

An examination of the Vermont State Colleges Board of Trustees' minutes extending from January 1973 to December 1978 showed only one made reference to the Board's perception of the role of the faculty in the governance process.

This one discussion of governance in the Vermont State Colleges Board of Trustees' minutes was at their meeting on June 11, 1977. During this meeting, the trustees reviewed the proposed APAC* goals for the Vermont State Colleges. Chancellor McGregor recommended to the board that in APAC's report on:

"Goal Statement:

Section IV-Governance Goals- the Chancellor's recommendation was to delete this section, the reason being that governance is a process rather

*Academic Planning Advisory Committee- a committee established in 1976 with three representatives from each college: a faculty member, an administrator and a student, whose function it is to define the role of the Vermont State Colleges. This responsibility includes the definition of the Vermont State Colleges goals and missions.

than a service and the other goals were services, APAC objects."[32]

At this meeting, the representative from Castleton State College supported APAC's argument in favor of keeping governance as a goal. Miss Cathy Connolly, the President of the Castleton State College Student Association, also went on record as supporting governance as a goal statement.

After further discussion on the topic, Janet Gillette, a trustee, indicated that since the goals were periodically reviewed that:

"I move that we sustain the recommendation of the Chancellor on the goals statement regarding the elimination of Item IV-Governance."[33]

After the motion was seconded, it was voted unanimously by the Board of Trustees.

Evidently this position on governance continued to be the one that has been held during the negotiating process that has not yet concluded. As mentioned earlier in the background section, the elimination of governance within the collective bargaining agreement is one of the objectives of the Board of Trustees.

Other minutes indicate that almost all meetings of the Trustees included one or two executive sessions for purposes of discussing personnel and contracts. Since faculty governance had been negotiated in the original collective bargaining agreement in 1974, it was assumed that the Trustees had discussed the topic within some of its executive sessions.

Since both Castleton State College union delegates who were interviewed, Sherry Anderson and John Stevens, indicated that faculty governance was one of the topics being discussed in negotiations and President Wilson, one of the Vermont State College administrators representing the Trustees indicated "no comment", it has been concluded that as a result of negotiations,

some changes in faculty governance within the negotiated contract may occur in the very near future.

V. DISCUSSION, IMPLICATIONS AND RECOMMENDATIONS

It will be very important that the college administrator of the future learns to cope with and resolve the conflicts that will occur within his institution, and between the various conflicting interest groups. One of the possible ways of resolving some of these conflicting situations is the development of a faculty governance model that combines elements of what have been previously described as the collegial and political governance models. The combining of these two models should encourage faculty participation in the resolution of various conflicting positions within the institution, of which they are often a part. Their participation in the governance process should, in fact, lessen the need for the feedback process that tend to generate new conflicts.

It is important that the educational administrator of the future recognize that conflict within the institution comes in many forms and that the best way to deal with conflict is to anticipate it by planning for it. This is best done by structuring a governance system that institutionalizes conflict in a manageable way. Thus, by managing conflict on campus, the governence system provides the organization with a good mental health that allows for the coping with conflict. The essence of leadership is to civilize the conflict within the college by developing a means by which the system deals with it on a consistent basis.

The following is a proposed modification of Baldridge's Political Governance Model that might be implemented at Castleton State College.

MODIFIED POLITICAL-PARTICIPATORY MODEL

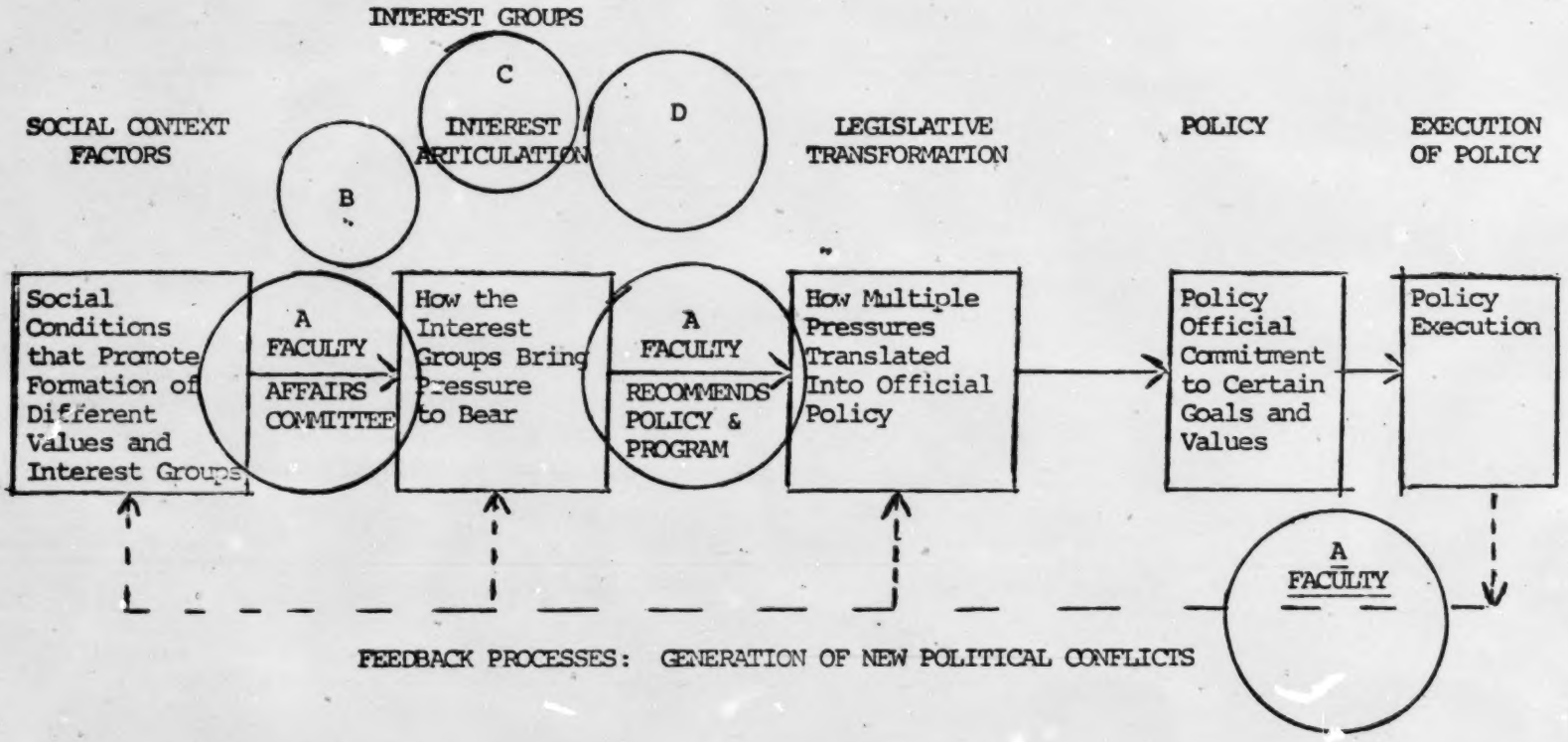


FIGURE 3

J. Victor Baldridge, Power and Conflict in the University. John Wiley and Sons, Inc., 1971, p. 22.

The modifications of Baldridge's Political Management Model is extended to include clustering of various interest groups A, B, C, D, all differing in size and type of influence. However, by combining some aspects of the collegial governance model, group A representing faculty is considered the most important element to quality instruction. This assumption leads to the model's recognition of the faculty as the most important interest group and builds the faculty into the policy and program process through its committee structure.

This recognition of the influence of the faculty is built into the governance process which provides a vehicle for its interests to be articulated in institutional policy. By also including it immediately after the policy execution stage, there will be a tendency to reduce the generation of new political conflicts that Baldridge argues are an outcome of the feedback process.

The typical procedure for many administrators when dealing with faculty participation in decision making is to decide what he wants to do, and then to rationalize faculty support for that decision by describing it as either honest or loyal. This kind of self-deception and confusion will always exist as administrators ask faculty to make decisions based on choices of good and evil rather than between good and good. Administrators who encourage faculties to choose among competing educational values may not reduce self-deception, but such a governance process would make it less necessary.

The feeling of conflicting sets of consequences in the decision making process is made possible by the college leadership which gives major recognition to the solving of problems and the understanding of the competing interest groups within the institution. Since these interest groups differ

in their value systems, university leadership recognizes that values are built as attitudes and are clarified through an examination of their bases. Thus, we do not build values through ceremony, practice, or ritual. The process of valuing is more reflective than the memorization of the Bill of Rights. The practices fall largely in the area of attitude inculcated within society.

An informal and reflective atmosphere yet structured governance system is essential to the clarification of attitudes and the testing of various value systems. We cannot lose sight of the fact that faculty governance should encourage both flexible and experimental organizational change. Faculty participation must evolve from the thinking of the members of the faculty, and there is no way to impose value beliefs on a faculty. Within a collegial framework faculty must be free to participate in the creation of the educational system by which they intend to work. A non-involved governance approach, the bureaucratic model, to educational values means that the faculty member merely acquires attitudes which are held as an absolute by the top administrator within a higher education institution. When one educational absolute or administrative priority conflicts with another, the faculty member is lost to make a quality educational decision.

It well may be that those college or university presidents who worry most about the loyalty of their faculty and deans are those whose unexamined policies could not stand the test and scrutiny of rigorously reflective thought. There may be no administrative practice more undemocratic than that of closing off reflection in the middle of attempts to resolve educational conflicts within the institution.[34]

In a conflict situation, a college administrator is confronted with differing points of view of various interest groups. His or her administra-

tive process resolving the conflicting positions is the system by which the administrator selects one of the existing alternatives. The resolution of a series of these conflicting situations over a period of time determines an administrative pattern that an individual administrator and his institution develop into conflict strategy.[35]

There is no question that some degree of conflict is good for any organization. The key question is how much conflict is positive for a given educational institution? Certainly, one of the major areas of conflict occurs with the differing role definitions within the organization. Some of the pointless role conflicts within the college or university may be reduced by studying and communicating a clear understanding of the various role descriptions. There are many ways an administrator may learn role behavior, but one of the most valuable learning tools can be found in the role theory of administrators. It is important to realize how role theory and its development may resolve many of the role conflicts that exist within an institution. Role theory should allow for some of the conceptualizing of problems of individual administrators in a way that provides insight and structure to an institution's leadership behavior in a given conflict situation.[36]

It was recommended that a new position, that of Faculty Development Specialist be established. As discussed earlier, it is important that a specific, detailed role description be developed that clearly delineates the areas of responsibility before the position is implemented. It is proposed that a faculty member be elected to the position by the Faculty Assembly for a two year period and upon the approval of the president.

The individual would assume major responsibilities in faculty development and curricular development areas. The person will also function as the executive secretary of three Assembly committees, Graduate-Continuing Edu-

cation Committee, Academic-Curriculum Committee and the Faculty Affairs Committee.

If one reads the present job description of the Dean of Academic Affairs, it is quickly seen that the responsibilities go far beyond the areas that any one person can handle. The general responsibilities are described as "wide-ranging and all encompassing", which includes administration, academic and student affairs.

With few modifications, additions and changes of this role description, there can evolve from the curricular-faculty segments the basis for a partial job description of the position of Faculty Development Specialist.

FACULTY DEVELOPMENT SPECIALIST
Position Description

The Faculty Development Specialist would be a faculty member elected by the faculty and approved by the President for a two year period. This person would assume primary responsibility for the integration and coordination of the curriculum as well as the faculty development for the college.

1. Administrative- Administrative responsibilities refer to duties and/or tasks which relate to the administration of the faculty and curriculum of the institution.
   a) the coordination of research and grant writing for the institution.
   b) involvement in the long range planning process.
   c) serving as the faculty and curriculum "watchdog", i.e., quantity and quality control.
   d) providing leadership to the faculty with respect to curriculum, innovation, changing trends, etc.

2. Academic- Academic responsibilities refer to duties and/or tasks which relate to the faculty, faculty affairs, and curriculum and include:

   a) the development (with departments) of position description announcements.

   b) the chairing and coordinating of department chairpersons' meetings.

   c) the development, implementation, review and application of general academic policy for the institution.

   d) faculty liasion with respect to faculty problems, concerns, etc.

   e) the integration and coordination of the total college curriculum.

   f) the development and publication of a faculty handbook.

   g) the overseeing of the library-learning resources center.

   h) the coordination of academic activities of faculty, i.e., grants, special academic projects, released time, etc..

The Faculty Development Specialist is directly responsible to the Dean of Academic Affaris and would attend Administrative Council meetings upon the request of the Dean or the President.*

*All of the above areas of responsibility can be found in the position description of the Dean for Academic Affairs. (Appendix J, page 53). It was assumed that that individual would be released from having primary responsibility in these areas. It is also assumed that additional areas would be added to the above description.

The final recommendation was that the faculty governance structure be reduced from nineteen committees, that range from almost inactive to very active, to four major committees: the Academic-Curriculum Committee, the Faculty Affairs Committee, the Campus-Student Committee and the Graduate-Continuing Education Committee.* This last committee represents areas that are being considered for future expansion (i.e.- Masters in Business Administration, etc.) and are not presently included under the collective bargaining agreement.

Each of the proposed committees would have a total of ten elected faculty members, two from each of the five major academic areas of the college; Professional, Fine Arts, Humanities, Sciences, and Social Sciences. Each of the five academic areas would have two faculty representatives, elected in alternating years, on each of the four proposed committees. Since librarians are included as faculty, they would be included in the Fine Arts area.

This would mean that there would be eight faculty members from each of the five Campus areas, for a total of forty, serving on the four proposed committees for any one academic year.

This structure should allow for more efficient use of faculty interest, time and provide a means that faculty concerns can be expressed to the administration.

It was recommended that further details of the proposal be resolved through a combined faculty-administration committee.

*The recommended number of committees does not differ from that proposed by President Wilson and the Faculty Assembly Executive Council, except for the Graduate-Continuing Education Committee.

Included with the recommendations on reduction of committees that was proposed was the suggestion that the Faculty Assembly Executive Council be expanded to include the four faculty members who were elected as chairpersons of the proposed four committees. This would guarantee that all major policy considerations within each of the committees would be properly articulated within the meetings of the Executive Council.

Having faculty governance as a specific part of the collective bargaining agreement does not seem to have had a significant influence on the daily operations of the governance process, but does seem to have had a general effect on the attitude and perception of the faculty relative to the governance issue and the power structure at Castleton in general.

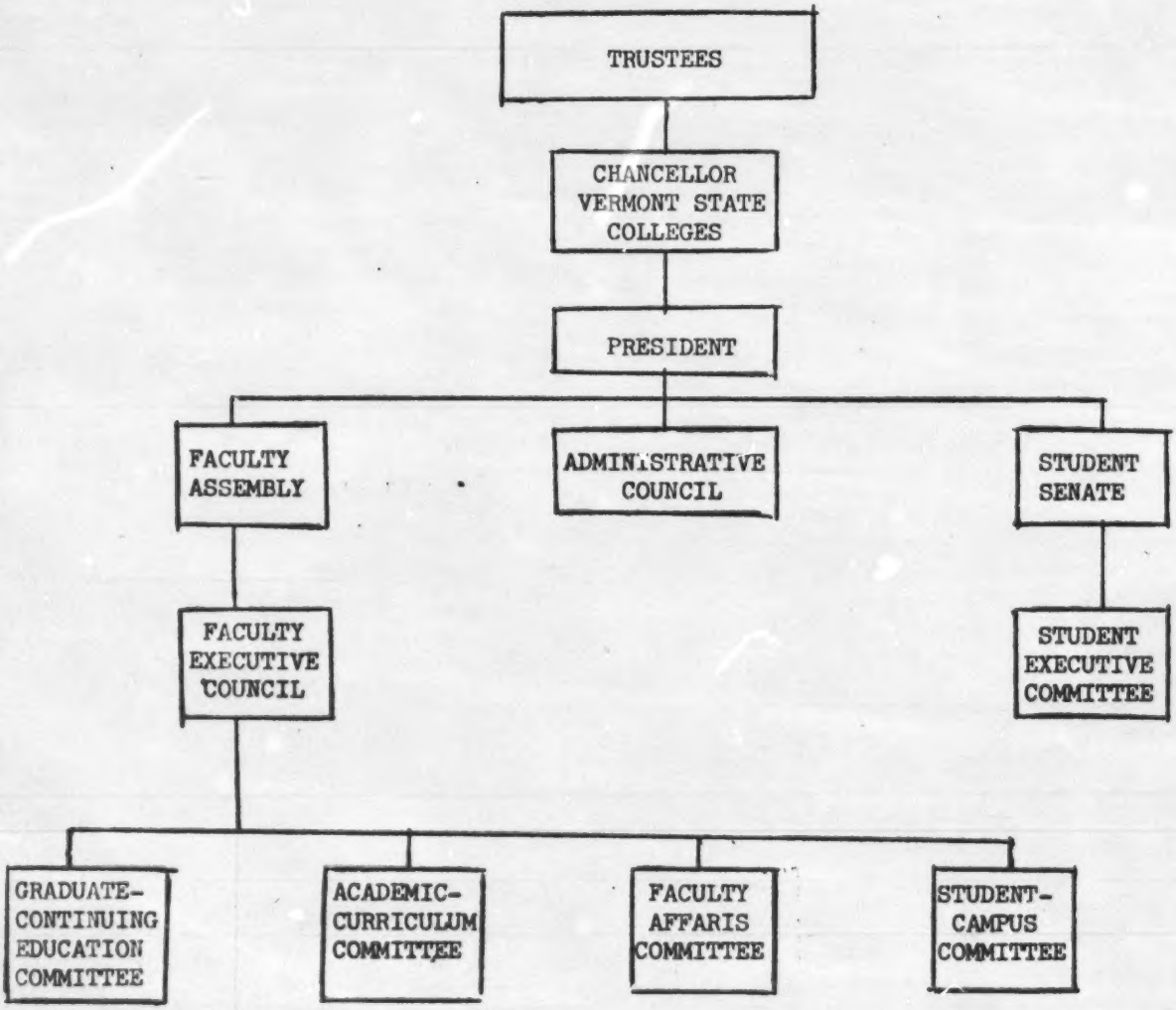
With the advent of the union structure at Castleton, the faculty governance structure changed from the bureaucratic model, with little participation except for a few, to a participatory-collegial model with a high level of faculty involvement in the governance process. This participatory process has been enhanced and accelerated since the arrival of the present president, Dr. Donald Wilson, who has encouraged even further faculty involvement in the process.

The quality of this faculty participation has been questioned because of the inefficiency and lack of clear areas of concern by the nineteen Assembly Committees. The multitude of the overlapping committee structure and the hesitation by many faculty to assume a role in policy decisions has frustrated many administrators and faculty.

The following table, representing a modification of Hodgkinson's bicameral representative assembly model, [37] summarizes many elements proposed in the recommendations on faculty governance at Castleton State College.

FIGURE 4

MODIFIED BICAMERAL MODEL PROPOSED FOR
CASTLETON STATE COLLEGE



FOOTNOTES

[1]Memorandum on Faculty Governance sent to the Faculty Assembly from the Executive Council on May 1, 1978, p. 1.

[2]Castleton State College Faculty Handbook, 1973, p. 5.

[3]Ibid, pp. 5-6.

[4]Vermont State College Faculty Handbook, 1977, pp. 1-2.

[5]Vermont State Colleges Faculty Federation, "Tenure, Governance, Seniority and Workload Under Attack: VSC Declares Impasse", in Newsletter. VT S.C.F.F. AFT Local 3180, AFL-CIO, Volume VI, Number 12, July 27, 1978, p. 1.

[6]Thomas L. Weaver, A Profile of Faculty and Administrator Perceptions of a College's Governance Characteristics. Nova University, ERIC Document ED 136 870, 1977, p. 82.

[7]Harold L. Hodkinson, Campus Governance: The Amazing Thing Is That It Works At All. ERIC Clearinghouse on Higher Education Report, July 1971, p. 9.

[8]William L. Deegan, Student Government and Student Participation in Junior College Governance- Models for the 1970's. ERIC Document ED 047 662, January 19, 1970, p. 20.

[9]Russel C. Fielding, Campus Governance. Maricopa Valley Community College, September 21, 1978, p. 2.

[10]David Schimmel, Journal of Higher Education. Volume XLIII, Number 2, February 1972, p. 86.

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[19]John J. Corson, The Governance of Colleges and Universities. New York: McGraw-Hill Book Company, 1975, pp. 99-100

[20]Robert E. Helsabeck, The Compound System: A Conceptual Framework for Effective Decision Making in Colleges. University of California, Berkeley: Center for Research and Development in Higher Education, 1973, p. 47.

[21]Warren Bennis, "Organizational Developments and the Fate of Bureaucracy", in Readings in Organizational Behavior and Human Performance. 1965, p. 440.

[22]Terry O'Banion, "Innovations in Humanistic Education", in Community College Review, 1977, p. 63.

[23]Ibid, p. 64.

[24]Ibid, p. 64.

[25]Ibid, p. 65.

[26]Graham T. Allison, Essence of Decisions. Little, Brown and Company, 1971.

[27]Agreement Between Vermont State Colleges and Vermont State Colleges Faculty Federation, VSCFF, AFT, Local 3180, AFL-CIO. 1977, pp. 27-29.

[28]J. Victor Baldridge, Power and Conflict. p. 19

[29]John J. Corson, The Governance of Colleges and Universities: Modernizing Structure and Processes. New York: McGraw-Hill Book Company, 1975, p. 20.

[30]Richard C. Richardson and Louis W. Bender, College Governance. p. 36.

[31]Ibid, pp. 39-40.

[32]Maureen McNamara, Secretary, Minutes of the Vermont State Colleges Board of Trustees, Burlington, Vermont, June 11, 1977, p. 3.

[33]Ibid, p. 4.

[34]"Progressive Education", in Time. October 30, 1950, pp. 41-45.

[35]Herbert A. Simon, Administrative Behavior. New York: Macmillian Company, 1960, p. 67.

[36]Richard C. Lonsdale, "Maintaining the Organization in Dynamic Equilibrium", in Behavioral Science and Educational Administration. Chicago: National Society for the Study of Education, 1964, pp. 154-155.

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POSITION PAPER ON COLLEGE GOVERNANCE

D. W. Wilson

I. Introduction

The distribution of responsibility and power in a college is complicated by the fact that such an institution is usually hierarchical in structure, but it is often desirous that it function on a collegial basis. It is collegial in the sense that faculty members and administrative officers customarily share responsibility in the establishment of general institutional goals and in developing proposals, programs, and policies concerning such academic matters as curricula, student admission and retention, and graduation requirements. But it is hierarchical in that managerial responsibility is centered in the offices of department chairmen, the academic dean, and president, with ultimate authority residing in the trustees.

This means that levels of responsibility and power must be carefully defined in the clear, definitive, policy statements and procedures governing every institution. Otherwise, confusion is inevitable, with a resulting loss of both effectiveness and efficiency. Responsibility and authority cannot be settled once and for all. Developments in society and in the life and structure of an institution require continuing reappraisal of the institution's power structure. The modes of governance and education are interrelated and are shaped by a broader campus culture. The campus culture is in turn affected by what occurs in the committee room as well as the classroom. "Campus Culture" is the concrete arrangements and institutions that order the educational and governmental processes of the college, as well as the intangible values, such as a sense of common fellowship, a commitment to free inquiry and rational discussion, and pride in belonging to an institution that refuses to judge itself and the behavior of its members by any but the most demanding standards. The question of how governance and participation affect and are affected by the basic college purpose of education must be answered. Changes in the structure of governance must be prompted by the desire to relieve or eliminate the fundamental problems facing the college. (The fundamental problems are.....) The ideal system would seem to incorporate the process of open discussion and a decentralized structure of decision-making that is understandable, workable, and locatable where the action and interest are.

A few institutional changes, no matter how significant, cannot alone accomplish much unless they are accompanied by equally pronounced changes in the atmosphere that is often so inhospitable to mutual trust, to institutional loyalties, and to an affirmative belief in the value of the educational enterprise. We must shed some old habits and acquire some new ones. Any major transformation will involve a measure of conflict and disappointment. Everyone cannot be equally enthusiastic about changes or proposals.

The phrase "college governance" involves some of the following components: Trustees, a charter and bylaws, a president, deans, assistants, chairmen, the faculty in session, committees, tradition, historical development, and some form of student government. Intricate and complex relationships are represented by the foregoing and are dotted by crucial points of authority and decision-making. Governance is not simply a method for arriving at decisions about educational policies; it is itself a method of educating those who participate in it or who are affected by it.

It is crucial to define those areas in which, and the "institution" through which, the making and administering of policies should be delegated wholly to students or wholly to faculty or administrative offices; those in which students, faculty, or administration should have primary responsibility, with participation by others and to what degree. The three components--"students," "faculty members," and "administrative officers"--each have an area of primary concern. Each possesses legitimate claims to participation in various degrees. Problems will not be resolved by interest groups crudely defined on the basis of status as an administrator, a faculty member, or a student. Institutional settings must be developed that will provide a focus for loyalties and discussion cutting across the boundaries of status. We must find ways to convert our conflicts from destructive interest-group warfare for partisan ends to constructive argument for educational ends. The settings for productive argument and processes of reaching decisions must command the confidence and respect of the College Community. It should be possible to resolve substantive disagreement without bitter antagonism and mutual hostility.

II. The Board of Trustees

Membership on a college or university governing board is properly a position that makes heavy demands on experience, talent, and decision-making abilities. The trustees have the final overall responsibility for the institution. It is imperative that they be willing and able to invest the necessary time and energy to develop and review periodically the general policies that determine and support its goals and operation and to engage actively in the solution of its basic problems.

The trustees should be concerned with such issues as who the students are or should be, the nature and quality of the faculty, admission and retention policies and procedures, and the substantive nature of the curriculum. Too commonly they are completely bypassed in matters of this kind, and their attention and actions are confined to approving capital improvements and fiscal policy. This is not to suggest that trustees should recruit and select the faculty, initiate promotions, or design the curriculum. Such responsibilities are delegated by them to the administration and faculty; the day-to-day business of the institution is ordinarily not the responsibility of trustees. But trustees should be informed on such matters and should participate in the final determination of policy regarding them.

III. The President

The President of a college cannot provide genuine leadership if his actual authority is only marginal. He must use all executive powers except those that have been specifically assigned or delegated to others or expressly retained by the governing board.

He must make sure that the trustees understand and support the institution. In pursuit of this end, the president must engage the trustees in periodic reviews of institutional goals and priorities. He must make regular reports that reflect the faculty's views, including dissenting views that will enable them to arrive at informed judgments about the direction of the institution's programs and the wisdom of its policies.

We realize that the president's role is inevitably complicated not only by the great variety of tasks he must pursue as educator, administrator, and manager but also by the wide dispersion of decision-making activities and powers characteristic of an educational institution. It is largely because of the dispersion of authority and the ambiguous nature of his position that a president may find it extremely difficult to achieve satisfactory results in defining his institution's goals effectively and directing its energies toward their realization. He must function both as chief executive of a large organization and as a colleague of the faculty.

The president's responsibility for the day-to-day management of the institution requires that he have the power, after appropriate consultation, to select the individuals who are to serve as members of his management team and to remove them when necessary. He must have the power to delegate specific duties to members of his administration, prepare the budget for final consideration by the trustees, represent the institution in its contacts with other organizations and agencies, and deal directly or through his designated representatives with faculty, staff members and students on matters of institutional policy and operation. He must develop an essentially functional authority based on competence, integrity, trust, skill in leadership, and personal persuasiveness. He must lead through his ability to elicit from his colleagues their best efforts and their full commitment to building an institution of high quality.

The president's effectiveness depends in part, of course, on the quality of the administrative staff and his relations with that staff. His leadership is in large part exercised through the central administrative staff, the dean, and the department chairmen. They must all have a genuine capacity for educational leadership combined with managerial ability.

The distribution of managerial responsibility must be matched by an equivalent and explicit distribution of decision-making authority. Those who are held accountable must have the power of action.

IV. The Faculty

The Academic Dean functions both as a member of the faculty and the management team and has the responsibility and accountability to represent the views and interests inherent in those areas. Certain tensions inevitably develop between faculty and administration, but education will be best served if cooperative relationships are deliberatively cultivated and encouraged.

Many colleges and universities have a long tradition of faculty participation in determining managerial policies, decisions, and actions. Participation in the management of their institutions arises largely from the responsibilities that faculties commonly have for the determination of educational policy.

Where the trustees have delegated the formulation of educational policy to the faculty, the faculty commonly proposes admission and retention standards, initiates new programs and new courses, revises or deletes old courses, and determines requirements for graduation. In addition, faculty members in most colleges and universities participate by means of recommendation in the vital functions of recruitment, retention, promotion, and tenure of academic personnel, even though the offical action in tenured appointments and promotions is actually taken by the trustees.

Clearly, the quality of the faculty's relationships with the administration and trustees is of central importance to the health of the institution. The participation of faculty in certain areas of management must mean, among other things, access to the information needed for informed decisions and provisions for effective communication between faculty and administration. Unless the appropriate faculty members have certain kinds of financial information, for instance, they cannot make responsible decisions on expanding or deleting educational programs.

Faculties should perform a major role in the governance of colleges and universities and in the management of their educational affairs. An institution without strong faculty involvement in governance and management deprives itself of major professional resources that it needs to design and pursue effectively a high-level educational program.

Agencies for faculty participation in governance should be established at the levels where faculty responsibility is present and allow for meaningful information, in-put, and participation in decision-making.

V. The Students

Olivet College encourages responsible participation on the part of students within the limits of attainable effectiveness.

VI. The System or Agencies

The next step is to design the structure, system, agencies, and procedures consistent with adequate participation.

DWW/wh
1/3/75

From Essence of Decision, by Graham T. Allison
Little, Brown and Company, 1971.

APPENDIX B

MODEL FOR THE ESSENCE OF DECISIONS

Summary Outline of Models and Concepts

The Paradigm	Model I	Model II	Model III
	National government Black box Goals (objective function) Options Consequences Choice	National government Leaders A B C D E F G Organizations (A–G) Goals SOPs and programs	National government Players in positions (A–Z) Goals, interests, stakes, and stands (r–z) Power Action-channels
Basic unit of analysis	Governmental action as choice	Governmental action as organizational output	Governmental action as political resultant
Organizing concepts	National actor The problem Static selection Action as rational choice Goals and objectives Options Consequences Choice	Organizational actors (constellation of which is the government) Factored problems and fractionated power Parochial priorities and perceptions Action as organizational output Goals: constraints defining acceptable performance Sequential attention to goals Standard operating procedures Programs and repertoires Uncertainty avoidance (negotiated environment, standard scenario) Problem-directed search Organizational learning and change Central coordination and control Decisions of government leaders	Players in positions Parochial priorities and perceptions Goals and interests Stakes and stands Deadlines and faces of issues Power Action-channels Rules of the game Action as political resultant
Dominant inference pattern	Governmental action = choice with regard to objectives	Governmental action (in short run) = output largely determined by present SOPs and programs Governmental action (in longer run) = output importantly affected by organizational goals, SOPs, etc.	Governmental action = resultant of bargaining
General propositions	Substitution effect	Organizational implementation Organizational options Limited flexibility and incremental change Long-range planning Goals and tradeoffs Improvisation Options and organization Administration feasibility Standard change	Political resultants Action and intention Problems and solutions Where you stand depends on where you sit Chiefs and Indians The 51–49 principle Inter- and intra-national relations Misperception, misperception, miscommunication [illegible]

APPENDIX C

INTERVIEW QUESTIONS

The following are some of the questions that were asked during the interviewing of the two college administrators, the last two Faculty Assembly Presidents, and the two union representatives at Castleton State College.

1. What do you see as the faculty role in participating in the governance process of Castleton State College?
2. What type of governance structure do you feel will best provide for that faculty participation?
3. Do you feel that faculty governance should be included in the negotiated agreement as it was under the last existing contract?
4. What are your reactions and thoughts to President Wilson's charge to the Faculty Assembly on the topic of governance?
5. Do you believe that all faculty should participate in faculty governance through the Faculty Assembly Committee structure?
6. Do you think that there is a need for a new position in which the person's primary responsibilities would be faculty development and curricular program development?*

*Additional question added before interviews.

APPENDIX D

Castleton State College
Castleton, Vermont

December 4, 1978

NOTES FROM AN ORAL INTERVIEW - JOHN STEVENS, UNION REPRESENTATIVE

TOPIC- GOVERNANCE STRUCTURE AT CASTLETON STATE COLLEGE

Yes, I believe in faculty participation in the governance process, but I feel frustrated about a lot of things. Faculty are spread so thin and 75% do not care unless it affects them directly. Since the faculty do not have the power to make any decisions other than that of a recommend ure, maybe the president should directly assume the decision making process. We are lucky to have Don Wilson here at Castleton.

Yes, I do feel that faculty governance should be included in the negotiated agreement, but it does not look good. Menard, the negotiator for the trustees recently won a case against governance being included in the contract.

The key to the streamlining proposal will be if the president supports what is recommended. It's sad that so few committee reports are ever given before the Faculty Assembly. The lack of reports may indicate how the committees are not functioning.

No, I do not believe that all faculty should participate in the governance process. If they do not value participation or are not interested, why should they be required to be involved? Possibly using volunteers might be better.

It might be interesting to have an elected dean of instruction. I would like to see the role description. It might be a viable role to deal with if it is spelled out. Anyone interested in the position would seem to be interested in a future administrative position. Pay should be on a different structure than that of a faculty member. Possibly there is a chance to develop a new position within the present system. Much of the governance problem is that the faculty often do not want to make decisions.

APPENDIX E

Castleton State College
Castleton, Vermont

December 4, 1978

NOTES FROM AN ORAL INTERVIEW- SHERRY ANDERSON, UNION REPRESENTATIVE

TOPIC- GOVERNANCE STRUCTURE AT CASTLETON STATE COLLEGE

The Vermont State Colleges are one of the few college systems nationally that has governance in the collective bargaining agreement. It was reported about two years ago in the Sunday New York Times. Yes, faculty governance should be kept in the contract.

Although President Wilson seems to favor the democratic (collegial) governance system, there is no guarantee how long he will be here at Castleton. He is now negotiating for the administration. The Chancellor seems to be autocratic in style.

Yes, I believe that all faculty should participate in the governance process. Because of the large workloads and other interests, some faculty may not want to participate in the governance process. Although I cannot remember the details of President Wilson's streamilining proposal, it might be good to eliminate some committees that do not meet often. Johnson State College has a senate where faculty, staff and administration all vote on various issues.

The present faculty governance structure I agree with somewhat. Although it has some problems, it allows the faculty to have input on different problems. Too much of the present process is reaction to crisis. There is not enough time to make the decisions reflectively.

I think there is a need for a person who would be a purely instructional-academic dean. This person would be elected by the faculty for two years, upon approval of the president. This person could report to the president, but it might be a problem of faculty status under the contract. The position might have limited powers with recommending responsibilities in certain areas (i.e.- promotion and tenure). As far as attending the administrative council meetings, he might attend upon request of the president when a topic of concern is being discussed.

APPENDIX F

Castleton State College
Castleton, Vermont

December 4, 1978

NOTES FROM AN ORAL INTERVIEW- JOHN GILLEN, PRESIDENT OF THE FACULTY ASSEMBLY- GOVERNANCE STRUCTURE AT CASTLETON STATE COLLEGE

I accept that it is the role of the faculty to give advice, but the administrations may not accept it. It is acceptable that faculty advise the president, but that he makes the decision.

The Academic Review Committee shouldn't have had to come from the Chancellor's office. Faculty self interest will occur without a strong leader. If faculty had been asked to review the quality of programs under different conditions when it was not so close to them it might have been better.

I see no good reason for changing the present governance structure. If twenty faculty representatives were elected to committees they would tend to lose some of the faculty support. It is a question if there are insufficient numbers of the administration representatives at each of the present committee meetings. It might be better if administrative reorganization took place.

The new position might be elected by the faculty for two or three years, probably on approval of the president. The salary might be prorated with some additional amount for more time. He would be responsible for: developing the strengths of various people, introducing new programs, helping faculty development, and developing experimental courses. There is a question as to whether he should deal directly with students. The individual would work closely with all departments and department chairpersons. Most of what he does would be of a recommending nature, but it would depend upon his administrative style. The person would know the department problems and would not recommend to the administration, but represent the faculty to the administration. It would not be an administrative position, but would depend upon moral authority for his power. He would remain in the bargaining unit and would attend the Executive Administrative Council meetings upon request. An analogy might be the chancellor's relationship to the trustees. The position should work for the faculty and not be an advisory relationship.

No person who does not sit constantly with the committee can coordinate programs. Too often the administration assumes it knows the problems of the departments but they lack the detailed knowledge. Sometimes the work with committees almost says that it is not the business of faculty on certain issues.

There should be a total releasing of data except for those areas mentioned under the new sunshine law. I see no special reservations for releasing of data of the central office.

The new position might be Academic Dean, and would need to be released for more than half time. The position might be under the Vice President of Academic Affairs. One problem could be to what extent the individual would relate with students. Possibly the Assistant Academic Dean would deal with the students. This person's chief duty would be involved with faculty. The main objective would be to build goodwill with faculty. The individual might have to leave the bargaining unit but could still attend the Assembly meetings. What it all comes down to is trust.

APPENDIX G

Castleton State College
Castleton, Vermont

December 6, 1978

NOTES FROM AN ORAL INTERVIEW- DR. DONALD WILSON, PRESIDENT

TOPIC- GOVERNANCE STRUCTURE AT CASTLETON STATE COLLEGE

Sometimes the political management model encourages a political operative administrative style. That is when political implications are always the top consideration and usually the only one. This type of style tends to be that of a manager and not that of an advocate of programs, etc.. Although all administrators are involved with management, the manager style is oriented to accounting, as opposed to leadership. This is also true of the political process in administration. All administration has some degree of politics involved in the process, but the question is the level of importance of the political aspects of the role.

I believe in the democratic, collegial governance system. One of the problems is that the collective bargaining process creates an advisory mentality. There needs to be some modification of the present Castleton governance structure. The basic collegial model is good, but there is a need for streamlining the committee structure and in involving more committees in policy formulation.

There would be a question if a faculty member was elected as a faculty development specialist; if it could be allowed under the contract and if the person would be integrated at the faculty or administrative level. There would also be a question of who the faculty development person would report to, the Assembly or the administration. It might be possible for the person to work closely with the Assembly and report to the academic dean. The individual would work in the area of faculty development and curriculum programs. Some materials might be confidential. The tenure for such a position might be anywhere between two to four years. The job should be clearly defined. If elected by the Assembly, the president would have veto control. There has to be administrative control. Why not invite two faculty members to run for position and one would be elected by the Assembly?

In the present governance structure, the Assembly might be more open by allowing broader participation (i.e.- administration). There is also a need to streamline the committee structure. The time may come when the administrative organization may be different. The role of department chairpersons may change or deans in the various areas may be designated. At the present time there is no common concept of what the department chairperson's role should be. It is almost impossible to come up with a campus wide acceptance of the role description. The president can only react to the election of the department chairperson. The role of the department head could provide meaningful leadership.

In general, there is no need to change the present governance process since it is working reasonably well. There should be no major changes except for some streamlining of the committee structure. Faculty has to have input since they are the key to the system. Possibly the faculty should assume more of a role in developing policy.

No, I do not believe it is necessary for all faculty to participate in governance. Why not use the most talented faculty in an area as a more meaningful way of faculty governance? Maybe a representative type of system based on expressed interest of the faculty member.

APPENDIX H

Castleton State College
Castleton, Vermont

December 12, 1978

NOTES FROM AN ORAL INTERVIEW- EDWARD WARD, PAST PRESIDENT OF THE FACULTY ASSEMBLY- GOVERNANCE STRUCTURE AT CASTLETON STATE COLLEGE

I am not sure exactly what we govern. It is a question of the power to make decisions. The faculty role is advisory. Power would be if the faculty governance structure was given control of employment and firing.

I see a lot of problems with the democratic governance system. A good example: the differences between the liberal arts and the professional career programs. The majority of the faculty could eliminate another portion of the curriculum if it did not involve them. Since self interest is the primary consideration of the majority of the faculty, their areas are considered before considering institutional needs.

The Vermont State Colleges Board of Trustees should set policy and the campus administration should implement the policy as is best for the institution. If the faculty has a concern it should state its views directly to the Trustees. The difficulty with faculty involvement in governance is that they are poorly prepared to make decisions they are asked to make. They tend to react with emotion. A paid legislature is at least in tune with the issues. Most faculty spend time in delivery of their lessons and governance is done by the seat of the pants. Motions on key issues develop during the meeting rather than planned before. Not all faculty should be members of committees.

A representative faculty or a faculty senate to express ideas, I would feel more comfortable with. Possibly a super committee made up of faculty with released time, one or two courses reduced, might split itself into major areas of concern. This proposal was immediately rejected at once by the Assembly Executive Council. I think they feared how it would be selected, possibly shut off some of the present members. When the President sent a note saying he would be willing to meet with the Assembly Executive Council to discuss his proposal, the Council refused to have an open door policy. It was a gentle way of saying they did not want to meet with him.

My reaction to a new position of a faculty development specialist is that I do not think I care for it. We probably need someone to be concerned about faculty and curriculum development, but it should be an administrative position. If it is on an elected basis it would cause a lot of problems. Although the position would be expected to represent all faculty, he would tend to show interest in his own department. I do not think a mature and experienced faculty member would take the position. There would be a cleavage between the faculty and administration. The person would be viewed by the administration as an outsider and by the faculty as a temporary administrator, unless he was a very unique person. There is also the question of who he would report to, the Assembly of the president.

There is a need for greater attention to saving and improving faculty, rather than documenting the evaluations. It is similar in business, the first couple of years a new employee does not contribute much. It is after the first couple of years that the person starts to become productive. Administrative help should be available during these first years to strengthen faculty, rather than to terminate. This program has to be an administrative one, so as to know all the background data yet be available to faculty. The key rule of the administration should be to develop an optimum level of trust with the faculty.

I do not know if the governance process should be in the contract. We, in the business department, have had an unhappy experience with the union that has left a bad taste. It has been ineffective and caused some problems in the past. The whole question of governance being controlled by the Assembly by-laws or by union influence. Examples would be in committee formation- Faculty Affairs and Student Evaluations, in which the by-laws had to be changed to be in agreement with the union contract.

APPENDIX I

Castleton State College
Castleton, Vermont

December 12, 1978

NOTES FROM AN ORAL INTERVIEW- DR. WILLIAM FEASTER, DEAN FOR ACADEMIC AFFAIRS- GOVERNANCE STRUCTURE AT CASTLETON STATE COLLEGE

The role of the faculty is that of a knowledge pool. Faculty know what they should be offering. They collectively have to participate in order to make the system work. They should tell the administration what they should be doing. The committees need to understand the limits and scope of the institution. For example, the Core and Academic Review Committees developed a good debate between the professional and liberal arts faculty that was a learning process. Faculty should not worry about limitations, but recommend what they feel is needed. Who knows what the resources will be when it all comes out. For example, the chancellor put the MBA on the chart of the list of institutional priorities.

The administrative model is also needed. Remediation is an example where faculty wanted an Assembly Committee. As a result, some decisions that are needed are delayed. When I selected the Remediation Committee, there were representatives from the various areas and it was distributed throughout the campus. Both the administrative and collegial models are necessary. The administration needs the faculty because of its lack of knowledge in specialized areas.

Faculty should have some decision in policy development. At some point the administration has to step in when it is a question of how the policy is to be implemented. Faculty can also advise on implementation. In fact, policy implementation may even fall into faculty hands upon occasion. For example, faculty would implement policy when developing a training program or farming out graduate students to outside advisors. To a large extent there is no clear line between when faculty should be involved with policy and implementation and where it ends and begins.

Part of the problem of having governance in the collective bargaining process is that only recommendations are made to the Assembly. The style manual is an example of the lack of consistency.

We should not make the same mistake in the MBA that we did in the MAE. Consideration of limits, evaluation of programs, resources, etc., when thinking about starting the MBA. We should hire a full-time person to coordinate the program and all graduate programs should rest within the specific departments. Successful programs have the tendency to go on and on without facing reality. Maybe we should no longer have adjunct people handling key courses, we should look at the funding base, we need more office space; maybe we should face these problems now. Possibly we should

be putting a reasonable cap on the programs, yet remain flexible. It is a question of quality of the individual and the resources to meet the needs of a few students. Even if the graduate program makes a profit, the funds are not necessarily put back into the program, but go into the total institutional priorities. I told the Board of Trustees that a few years ago when the colleges were told to develop new programs. Now with tight budgets, all the new programs that Castleton were successful in getting started in the past, are being criticized. Why now are we wrong for being successful?

Probably not having governance in the contract might be helpful. The contract tends to set up artifical barriers. The state college system has problems on a state wide basis that does not extend to Castleton. Castleton State College often has many different problems that are restricted by the contract structure.

The present governance system is sometimes inefficient. I am not sure that there is a need for all of the existing committees (i.e. - Continuing Education Committee). Individual courses should go through the curriculum committee. It is not necessary for all faculty participation in the governance process. Some faculty choose committees that seldom meet. It might be better to develop a task force or special committee when a problem develops.

There is a need for a new type of position for faculty development, etc.. A recent conference that I attended in Boston, of chief academic deans, discussed their role in the 1970's. Much of their work does not deal with curriculum and teaching. Often no one follows up on a problem, checks with faculty, or indicates how the administration has to get dollars for a follow up of a program. Many faculty do not know how to recognize the different type of student problems. There is a need for someone to set up a seminar to deal with the problem. One problem, is that the best faculty are often pulled into these positions to do administrative type of work and away from teaching. The key is to get the job done.

DEAN FOR ACADEMIC AFFAIRS
Position Description

The Dean for Academic Affairs is the chief academic officer of the institution. S/he is responsible for all academic units and supporting units in the institution, including undergraduate and graduate programs. S/he serves as second in responsibility to the President and advises and assists the President in the development and implementation of academic policy. In the absence of the President, the Dean for Academic Affairs will serve in that capacity. S/he is charged with the integration and coordination of the total college curriculum.

Responsibilities - The responsibilities of the Dean for Academic Affairs are wide-ranging and all encompassing. Responsibilities can be categorized into three tangential areas as follows: Administrative, Academic and Student.

1. Administrative - Administrative responsibilities refer to duties and/or tasks which relate to the general administration of the institution and include:
   a) the handling of complaints as stipulated by the collective bargaining contract.
   b) the designated (by contract) institutional official as Step One grievance recipient.
   c) the coordination of research and grant writing for the institution.
   d) academic long range planning.
   e) facilities planning.
   f) preparation of the academic budget, including departmental budget coordination.

g) representation of the institution in contract negotiations.

h) the registration of students, including

(1) master scheduling

(2) contracting summer and mid-year advisors.

(3) assignment of students to faculty advisors

(4) coordination of remedial course registration

i) serving as the faculty and curriculum "watchdog", i.e., quantity and quality control.

j) providing leadership to the faculty with respect to curriculum, innovation, changing trends, etc.

2. Academic - Academic responsibilities refer to duties and/or tasks which relate to the faculty, faculty affairs, and curriculum and include:

a) faculty evaluation, including supervision of the process and development of forms.

b) recommending faculty to the President for the purposes of promotion, reappointment, tenure, or denial of same upon completion of individual faculty review.

c) the development (with departments) of position description announcements.

d) interviewing candidates for faculty positions.

e) recommending to the President the appointment of new faculty.

f) recommending to the President faculty for leaves, sabbaticals, and advanced study periods.

g) the chairing and coordinating of department chairpersons' meetings.

h) the development, implementation, review, and application of general academic policy for the institution.

i) the review and approval/disapproval of majors by contract.

j) the final responsibility as appellate for transfer evaluations and final audit.

k) faculty liaison with respect to faculty problems, concerns, etc.

l) the integration and coordination of the total college curriculum.

m) the development and publication of a faculty handbook.

n) serving as the appellate for approval of candidates for degrees.

o) the overseeing of the library-learning resources center.

p) the coordination of academic activities of faculty, i.e., grants, special academic projects, release time, etc.

3. Student - Student responsibilities refer to duties and/or tasks which relate to student-oriented academic concerns and include:

a) the coordination of the student evaluation of faculty process including forms collection and storage.

b) the approval of student credit overloads.

c) the development of lists for dismissals, warnings, and academic probation and the determination of appeals.

d) the approval or denial of student leaves and resignations.

e) the development and implementation of policy relating to student academics.

f) the approval or denial of "bad semester" amelioration requests.

g) the approval of miscellaneous student waivers, e.g., adding classes after deadline, dropping courses, etc.

h) the development of the Dean's and President's lists.

i) the resolution of miscellaneous student academic-related problems

The Dean for Academic Affairs is a member of the Administrative Council and interacts with all administrative members of the institution. The Dean has close working relationships with the Dean for Student Affairs, Business Manager, Associate Academic Dean and Registrar, and Associate Dean for Continuing Education in the development of academic policy as it relates to these segments of the institution.

The Dean for Academic Affairs has direct supervisory responsibility for the Associate Dean for the Division of Continuing Education, the Associate Academic Dean and Registrar, and the Assistant Dean for Academic Affairs. Each of these individuals reports to the Academic Dean and is delegated authority and responsibility from the Academic Dean.

As the chief academic officer, the Dean is required to keep abreast of ongoing faculty activities and attends a number of faculty committee meetings as necessacry. S/he also must maintain liaison with external organizations and/or constituencies which relate to the college. Those include national, state, local, business, and educational organizations.

Qualifications:

The Dean for Academic Affairs, as the chief academic officer of the institution, should possess the outstanding qualities which are requisite for the job. Specific qualifications include:

(1) an earned doctorate

(2) administrative experience at the college/university level

(3) a record of scholarly achievement

(4) evidence of excellence in teaching

(5) a demonstrated ability to communicate and work with all constituents of the institution.

(6) a strong commitment to and background in the liberal arts philosophy which the institution embraces.

7/77